



Department of Defense DIRECTIVE

NUMBER 8320.1

September 26, 1991

ASD(C3I)

SUBJECT: DoD Data Administration

- References:
- (a) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964 (hereby canceled)
 - (b) DoD 5025.1-M, "Department of Defense Directives System Procedures," December 1990, authorized by [DoD Directive 5025.1](#), December 23, 1988
 - (c) DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965
 - (d) DoD Instruction 5000.18, "Implementation of Standard Data Elements and Related Features," March 17, 1969
 - (e) through (r), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

- 1.1. Reissues reference (a).
- 1.2. Establishes policies for DoD data administration.
- 1.3. Authorizes the establishment of and assigns responsibilities for DoD data administration to plan, manage, and regulate data within the Department of Defense.
- 1.4. Authorizes the publication of DoD 8320.1-M, "DoD Data Administration Procedures," in accordance with (IAW) reference (b) that will supersede references (c) and (d).
- 1.5. Authorizes the establishment of a DoD Information Resource Dictionary System (DoD IRDS).

2. APPLICABILITY AND SCOPE

This Directive:

2.1. Applies to the Office of the Secretary of Defense (OSD), the Military Departments (including the National Guard and Reserve components), the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Combatant Commands, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

2.2. Applies to all information systems (ISs) of the DoD Components, whether those systems share data with other systems or not. Hereafter, this Directive shall use the general term "information system (IS)" to refer to all of the applicable systems and subsystems.

2.3. Applies to data in the ISs, including data elements, codes and values, and symbols.

2.4. Applies when levying information reporting requirements IAW DoD Directive 7750.5 (reference (e)).

2.5. Applies throughout the life cycle of the ISs with management and acquisition reviews implemented in DoD Directives 7920.1 and 5000.1, and DoD Instruction 5000.2, references (f) through (h).

2.6. Applies to the data elements and data values of systems governed by reference (g), including:

2.6.1. ISs associated with office automation; personnel, business, and administrative systems; financial accounting and contractual information systems; and inventory control associated with acquisition of programs and systems;

2.6.2. Metadata (i.e., data about data) that affects system interoperability or production and logistics support.

2.7. Applies to data elements and data values under the stewardship (i.e., management responsibility, but not data definition ownership) of the Under Secretary of Defense (Acquisition) including data elements and data values that are required to

be unique to the operation of equipment and software that are an integral part of a planned acquisition and deployable weapon or weapons system and related test equipment.

2.8. Does not apply to data elements and data values that are required to be unique for use in cryptologic activities, but does apply to general signals intelligence reporting and the end-products of cryptologic programs and systems disseminated to noncryptologic activities. Those cryptologic activities shall assist in the development of any bridging techniques.

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

4. CONCEPT

4.1. DoD data administration must be implemented in ways that enhance mission performance through the effective, economic acquisition and use of data. Two objectives of DoD data administration are to:

4.1.1. Support DoD operations and decisionmaking with data that meets the need in terms of availability, accuracy, timeliness, and quality.

4.1.2. Structure the ISs in ways that encourage horizontal, as well as vertical, sharing of data in the Department of Defense, and with other Government Agencies, private sector organizations, and allied nations, consistent with national security and privacy requirements.

4.2. Data administration functions include procedures, guidelines, and methods for effective data planning, analysis, standards, modeling, configuration management, storage, retrieval, protection, validation, and documentation.

4.3. Effective data administration improves interoperability among the ISs and facilitates data exchange, provides the means for data sharing, controls redundancy, minimizes data handling, and improves data integrity by reducing the cost and time required to transform, translate, or research the meaning of differently named but otherwise identical data elements.

4.4. Data administration improves the way an organization uses data by defining

data structuring rules and standards, planning for the efficient use of data, and coordinating data definitions and structures among organizational components.

4.5. The primary tools of data administration are an IRDS and a functional data structure and rules. That structure and the rules establish a framework within which to determine what data elements should be standardized, describe how data elements should be grouped, and state which data elements should be located in the DoD IRDS. The functional data structure is determined by the data needs of the organization. The DoD IRDS is used to define, structure, and maintain metadata for data administration.

4.6. The DoD IRDS provides a medium for defining metadata, cross-referencing, and consistency checking, and supports the standardization of data element names, definitions, and relationships. Metadata includes a wide variety of data element information such as data element access name, descriptive name, alternate names, data element definition, data type, data length, storage format, data validation rules, and the functional area or the IS that is the source of the data element.

4.7. Data elements are the fundamental unit of data used in the ISs. Standardization of data elements will result in efficiently storing data in databases and files, and in effectively accessing and using DoD standard data elements by multiple users.

5. POLICY

It is DoD policy to:

5.1. Implement data administration aggressively in ways that provide clear, concise, consistent, unambiguous, and easily accessible data DoD-wide, and that minimize the cost and time required to transform, translate, or research differently described, but otherwise identical, data.

5.2. Standardize and register data elements to meet the requirements for data sharing and interoperability among ISs throughout the Department of Defense.

5.3. Use applicable Federal, national, and international standards before creating DoD standards or using common commercial practices.

5.4. Promote standardization of data elements in the Department of Defense in a manner consistent with requirements for sharing data among the OSD Principal Staff

Assistants; the Heads of the DoD Components; and with the other Federal Agencies and organizations and other nations under treaty or international agreements.

5.5. Levy the burden and cost of conversion to DoD standard data, regardless of the origin of the requirement for information, on the Head of the DoD Component responsible for the DoD IS using nonstandard data, unless otherwise mutually agreed by all parties involved, and the DoD Data Administrator (DoD DA) is informed of the agreement.

5.6. Coordinate applicable standards for information, information processing, and telecommunications IAW DoD data administration procedures.

6. RESPONSIBILITIES

6.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence, as the designated senior DoD information management (IM) official, shall:

6.1.1. Prescribe DoD data administration policies, procedures, criteria, rules, and terms for use by the Heads of the DoD Components and monitor compliance by the Heads of the DoD Components.

6.1.2. Issue and maintain DoD data administration procedures in coordination with appropriate DoD officials.

6.1.3. Designate or assign a DoD DA. Responsibilities of the DoD DA are in enclosure 3.

6.1.4. Review and approve the DoD Data Administration Plan submitted by the DoD DA.

6.1.5. Be the final authority for determining the resolution of DoD data administration issues.

6.1.6. Represent the Department of Defense to other Government Agencies, standards developing organizations, and industry on matters pertaining to the development and adoption of data standards or delegate such representation to the DoD DA or the appropriate functional data administrator (FDAd).

6.2. The OSD Principal Staff Assistants, within their areas of responsibility, shall:

6.2.1. Represent their interests to the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence and the DoD DA on all matters about data administration.

6.2.2. Designate a FDAd or exercise FDAd responsibilities for their functional categories of data listed in enclosure 4. Responsibilities for a FDAd are in enclosure 3.

6.2.3. Plan and provide resources necessary to effectively carry out assigned functional data administration responsibilities.

6.2.4. Review, approve, and submit to the DoD DA their portion of the DoD Data Administration Plan.

6.3. The Heads of the DoD Components shall:

6.3.1. Designate a DoD Component DA (CDAd) who shall exercise CDAd responsibilities, consistent with section 5., above, and DoD data administration procedures. Responsibilities for the CDAd are in enclosure 3.

6.3.2. Represent their interests to the OSD Principal Staff Assistants, the DoD DA, and the FDAd on all matters for data administration.

6.3.3. Plan and provide resources necessary to effectively execute CDAd responsibilities.

6.3.4. Manage data IAW section 5., above, and DoD data administration procedures.

7. PROCEDURES

7.1. The DoD data administration procedures shall:

7.1.1. Implement the policy in section 5., above.

7.1.2. Define and implement strategies and criteria for converting from nonstandard data elements to DoD standard data elements.

7.1.3. Develop requirements for methods and capabilities that permit rapid generation and manipulation of data models.

7.1.4. Apply to all data elements that are used in, but are not limited to, the functional areas listed in enclosure 4.

7.2. DoD data administration procedures shall provide uniform instructions for implementing DoD data administration. These procedures shall:

7.2.1. Identify planning, reporting, and resources requirements for effective DoD data administration.

7.2.2. Establish DoD standard data element naming conventions and uniform procedures to define and maintain all DoD standard data elements.

7.2.3. Describe the means to satisfy all data requirements for new or modified ISs through the use of standard data elements.

7.2.4. Describe the detailed administrative relationships among the DoD DA, the FDAdS, the CDAdS, and the users of data.

7.2.5. Provide guidance for IRDS users, including how to access and use the metadata.

7.2.6. Identify the mechanism to structure, store, collect, and maintain metadata within the Department of Defense so that metadata:

7.2.6.1. Is readily accessible to and understood by the Heads of the DoD Components.

7.2.6.2. Can be made available to commercial enterprises proposing or developing defense systems.

7.2.6.3. Is protected IAW the FAR and DoD Directive 5200.1 (references (i) and (j)).

7.2.7. Determine the relationships and applicability of DoD data administration to references (e) through (h) and (k) through (o) that govern the ISs of the Heads of the DoD Components.

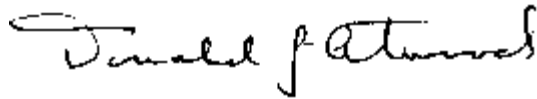
7.3. DoD standard data elements shall be used when stating information requirements and when designing, developing, or modifying the ISs. Compliance shall be determined by officials authorized to review and approve information systems

IAW DoD Directives 7750.5, 7920.1, and 5000.1 (references (e) through (g)).

7.4. Nonstandard data acquired from commercial-off-the-shelf data sources or other sources external to the Department of Defense shall be converted to DoD standard data elements only when justified by mission requirements, feasibility analysis, and a cost-benefits analysis.

8. EFFECTIVE DATE

This Directive is effective immediately.



Donald J. Atwood
Deputy Secretary of Defense

Enclosures - 4

- E1. References, continued
- E2. Definitions
- E3. DoD Data Administrators' Responsibilities
- E4. OSD Principal Staff Assistant Functional Areas of Responsibility

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986
- (f) DoD Directive 7920.1, "Life-Cycle Management of Automated Information Systems (AISs)," June 20, 1988
- (g) [DoD Directive 5000.1](#), "Defense Acquisition," February 23, 1991
- (h) DoD Instruction 5000.2, "Defense Acquisition Management Policies and Procedures," February 23, 1991
- (i) "Federal Acquisition Regulation," current edition
- (j) [DoD Directive 5200.1](#), "DoD Information Security Program," June 7, 1982
- (k) [DoD Directive 5105.19](#), "Defense Information Systems Agency (DISA)," June 25, 1991
- (l) DoD Directive 4630.5, "Compatibility and Interoperability of Tactical Command, Control, Communications, and Intelligence Systems," October 9, 1985
- (m) DoD Directive 2010.6, "Standardization and Interoperability of Weapons Systems and Equipment within the North Atlantic Treaty Organization," March 5, 1980
- (n) [DoD Instruction 7750.7](#), "DoD Forms Management Program," May 31, 1990
- (o) DoD 4120.3-M, "Defense Standardization and Specification Program Policies, Procedures and Instructions," August 1978, authorized by DoD Directive 4120.3, February 10, 1979
- (p) Joint Pub 1-02, "Department of Defense Dictionary of Military and Associated Terms," December 1, 1989
- (q) NBS Special Publication 500-152, "Guide to Information Resource Dictionary System Applications: "General Concepts and Strategic Systems Planning," April 1988
- (r) "American National Standard Dictionary for Information Systems (ANSDIS)," ANSI/X3.172-1990, American National Standards Institute

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Automated Information System (AIS). A combination of information, computer, and telecommunications resources and other information technology that collects, records, processes, stores, communicates, retrieves, and displays data.

E2.1.2. Data. Representation of facts, concepts, or instructions in a formalized manner suitable for communication, interpretation, or processing by humans or by automatic means. Any representations such as characters or analog quantities to which meaning is, or might be, assigned (Joint Pub 1-02 (reference (p))).

E2.1.3. Data Administration. The responsibility for definition, organization, supervision, and protection of data within an enterprise or organization (NBS Special Publication 500-152 (reference (q))).

E2.1.4. Data Administrator (DA). A person or group that ensures the utility of data used within an organization by defining data policies and standards, planning for the efficient use of data, coordinating data structures among organizational components, performing logical data base designs, and defining data security procedures (reference (q)).

E2.1.5. Database. A collection of interrelated data, often with controlled redundancy, organized according to a schema to serve one or more applications; the data are stored so that they can be used by different programs without concern for the data structure or organization (ANSDIS, ANSI/X3.172-1990 (reference (r))).

E2.1.6. Database Administrator. A person or group that enforces policy on "how," "where," and "in what manner" data is stored and maintained in each database. Provides information to the DA on organizational use of data within the subject database.

E2.1.7. Data Dictionary. A specialized type of database containing metadata that is managed by a data dictionary system; a repository of information describing the characteristics of data used to design, monitor, document, protect, and control data in ISs and databases; an application of a data dictionary system (reference (q)).

E2.1.8. Data Element. A basic unit of information having a meaning and subcategories (data items) of distinct units and values (reference (p)).

E2.1.9. Data Item. A subunit of descriptive information or value classified under a data element (reference (p)).

E2.1.10. Data Model. Identifies the data, their attributes, and relationships or associations with other data.

E2.1.11. Data Value. A value associated with a data element. One of the allowable values of a data element. Synonym of "a data item."

E2.1.12. Functional Area. A range of subject matter grouped under a single heading because of its similarity in use or genesis.

E2.1.13. Imagery. Collectively, the representations of objects reproduced electronically or by optical means on film, electronic display devices, or other media (reference (p)).

E2.1.14. Information. The meaning that a human assigns to data by means of the known conventions used in their representation (reference (p)).

E2.1.15. Information Resource Dictionary System (IRDS). A set of standard specifications for a data dictionary system resulting from U.S. Federal and national standards efforts; a computer software system conforming to those standards that provides facilities for recording, storing, and processing descriptions of an organization's significant information and information processing resources (NBS Special Publication 500-152 (reference (q))).

E2.1.16. Information System (IS). A combination of information, information technology, and personnel resources that collects, records, processes, stores, communicates, retrieves, and displays either manually or with varying degrees of automation.

E2.1.17. Metadata. Information describing the characteristics of data; data or information about data; and descriptive information about an organization's data, data activities, systems, and holdings (reference (q)).

E2.1.18. Nonautomated. Manual, without benefit or hindrance of machines.

E2.1.19. OSD Principal Staff Assistants. The Under Secretaries of Defense, the Assistant Secretaries of Defense, the General Counsel of the Department of Defense, the Inspector General of the Department of Defense, the Comptroller of the

Department of Defense, the Assistants to the Secretary of Defense, the OSD Directors who report directly to the Secretary or Deputy Secretary of Defense, and the DoD Coordinator for Drug Enforcement Policy and Support.

E2.1.20. Signals Intelligence (SIGINT). A category of intelligence information, either individually or in combination, comprising all communications intelligence, electronic intelligence, foreign instrumentation signals intelligence, and telemetry intelligence (reference (p)).

E2.1.21. Standard. An exact value, a physical entity, or an abstract concept established and defined by authority, custom, or common consent to serve as a reference, model, or rule in measuring quantities or qualities, establishing practices or procedures, or evaluating results. A fixed quantity or quality (reference (p)).

E2.1.22. Standard Data Element. Data element registered IAW DoD data administration procedures.

E2.1.23. Symbology. Any graphic representation of concepts or physical objects.

E3. ENCLOSURE 3

DoD DATA ADMINISTRATORS' RESPONSIBILITIES

E3.1. The DoD Data Administrator shall:

E3.1.1. Implement and manage the DoD data administration policies and procedures IAW section 5., above, of this Directive and DoD data administration procedures.

E3.1.2. Interpret DoD data administration policies, procedures, and standards, and coordinate FDAd and CDAd procedures with the DoD data administration procedures.

E3.1.3. Register metadata from functional areas assigned as DoD standard data.

E3.1.4. Develop, operate, and maintain a DoD IRDS that is easily accessible to all the Heads of the DoD Components and users, and supports the DoD data administration procedures.

E3.1.5. Review and approve or disapprove proposed changes to DoD standard data elements, when existing standard data elements do not satisfy new requirements.

E3.1.6. Annually review and submit the consolidated and updated DoD Data Administration Plan to the DoD Senior IM official IAW DoD data administration procedures, and DoD 4120.3-M (reference (o)).

E3.1.7. Plan and provide resources necessary to effectively carry out DoD data administration responsibilities, giving consideration not to abridge the authority and responsibility of the OSD Principal Staff Assistants.

E3.2. A Functional Data Administrator shall:

E3.2.1. Implement data administration procedures, IAW section 4., above, of this Directive and DoD data administration procedures, for the functional area assigned.

E3.2.2. Approve metadata in the respective functional areas of responsibility listed in enclosure 4, and for proposed DoD standard data elements, only when an existing standard does not support the new requirement.

E3.2.3. Annually review, update, and prepare the portion of the DoD Data Administration Plan that addresses the functional area assigned, and submit to the DoD DA, through the OSD Principal Staff Assistants.

E3.2.4. Recommend functional data elements for standardization.

E3.3. A Component Data Administrator shall:

E3.3.1. Manage the DoD Component Data Administration IAW section 5., above, of this Directive and the DoD data administration procedures.

E3.3.2. Review proposed changes to DoD standard data elements and forward changes to the DoD DA and the appropriate FDAd for approval.

E3.3.3. Identify the interface between the users, database administrators, and application developers of the ISs within the DoD Component and act as the liaison to the DoD DA and the FDAd.

E3.3.4. Represent CDAd interests to the OSD Principal Staff Assistants, the DoD DA, and the FDAd.

E3.3.5. Annually review, update, and submit to the DoD DA the portion of the DoD Data Administration Plan that addresses DoD Component data administration.

E4. ENCLOSURE 4

OSD PRINCIPAL STAFF ASSISTANT FUNCTIONAL AREAS OF RESPONSIBILITY

This listing is descriptive, not mandatory. See appropriate charter Directives.

E4.1. The Under Secretary of Defense (Acquisition)

- Acquisition
- Research and engineering
- Basic, applied research
- Science and technology
- Modeling and Simulation
- Weapon and Weapon System Support Engineering, Design and Test
- Nuclear, atomic energy
- Basic, applied research
- Development, test, and evaluation
- Weapon System Interoperability

E4.2. The Assistant Secretary of Defense (Production and Logistics)

- Logistics
- Transportation
- Procurement, contracts
- Manufacturing, materiel
- Construction
- Real property acquisition, repair, use, and disposal
- Configuration management
- Reliability, maintainability
- Base operations
- Standardization

E4.3. The Under Secretary of Defense for Policy

- National security
- Strategic resources
- Environment preservation
- International security
- Trade security
- Civil defense
- Crisis management

E4.4. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence

- Intelligence, imagery
- Telecommunications
- C3I systems
- Investigative security
- Information resources management
- Country and political jurisdiction codes
- Mapping, charting, and geodesy
- Audio, visual
- Defense security
- Information management
- Sea/air/ground operations, management fire support

E4.5. The Comptroller of the Department of Defense

- Budget
- Finance
- Fiscal
- Accounting

E4.6. The Assistant Secretary of Defense (Force Management and Personnel)

- Civilian personnel
- Military dependents
- Mobilization
- Training and education
- Military personnel, manpower

- Unit administration
- Compensation
- Equal employment opportunity

E4.7. The Assistant Secretary of Defense (Health Affairs)

- Health, medical programs
- Military dependent health affairs
- Health, medical care

E4.8. The Assistant Secretary of Defense (Legislative Affairs)

- House affairs
- Legislation
- Senate affairs
- Liaison

E4.9. The Assistant Secretary of Defense (Public Affairs)

- Public communication
- Dissemination of information
- Defense news, public information activities
- Community relations
- Freedom of information

E4.10. The Assistant Secretary of Defense (Program Analysis and Evaluation)

- Defense program analysis
- Economic, resource planning
- Defense program evaluation
- Theater assessment, planning

E4.11. The Assistant Secretary of Defense (Reserve Affairs)

- Reserve personnel
- Military technicians
- Reserve military dependents

- Reserve compensation

E4.12. The Assistant Secretary of Defense (Special Operations/Low Intensity Conflicts)

- Special operations/low intensity conflicts (SO/LIC) mission assessment
- SO/LIC requirements, planning
- Terrorism

E4.13. The Inspector General of the Department of Defense

- Audit
- Inspections
- Criminal investigations

E4.14. The General Counsel of the Department of Defense

- Legal, regulation
- Standards of conduct

E4.15. The Director of Administration and Management, Office of the Secretary of Defense

- Privacy Act
- DoD history
- Organization, management planning



Department of Defense DIRECTIVE

NUMBER 5000.1

October 23, 2000

Administrative Reissuance Incorporating Change 1, January 4, 2001

USD(AT&L)

SUBJECT: The Defense Acquisition System

- References:
- (a) DoD Directive 5000.1, "Defense Acquisition," March 15, 1996 (hereby canceled)
 - (b) [DoD Instruction 5000.2](#), "Operation of the Defense Acquisition System," October 23, 2000
 - (c) DoD 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," March 15, 1996 (hereby canceled)
 - (d) Under Secretary of Defense (Acquisition, Technology and Logistics), Assistant Secretary of Defense (Command, Control, Communications, and Intelligence), and Director, Operational Test and Evaluation Memorandum, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," October 23, 2000
 - (e) through (h), see enclosure 1

1. PURPOSE

This Directive:

- 1.1. Reissues reference (a).
- 1.2. Reauthorizes publication of reference (b).
- 1.3. Cancels reference (c).

1.4. Provides policies and principles for all Department of Defense (DoD) acquisition programs.

1.5. Describes management principles applicable to all DoD acquisition programs. Reference (b) describes a simple and flexible approach for managing all acquisition programs. Reference (d) describes operating procedures that are mandatory only for major defense acquisition programs and major automated information systems, and for other programs as defined specifically in reference (d). The Chairman of the Joint Chiefs of Staff Instruction 3170.01A (reference (e)) establishes policies and procedures for the DoD requirements generation system.

1.6. This Directive and references (b) and (d) provide mandatory policies and procedures for the management of acquisition programs, except when statutory requirements override. If there is any conflicting guidance pertaining to contracting, the Federal Acquisition Regulation (FAR) (reference (f)) and/or the Defense FAR (DFAR) Supplement (reference (g)) shall take precedence.

2. APPLICABILITY

2.1. This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, Office of the Inspector General of the Department of Defense, the Defense Agencies, DoD Field Activities, and all organizational entities within the Department of Defense (hereafter collectively referred to as "the DoD Components").

2.2. The policies in this Directive are applicable to all on-going acquisition programs regardless of their stage of development.

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

4. POLICY

The following policies and principles govern the operation of the Defense Acquisition System, and are divided into five major categories.

4.1. Achieving Interoperability

4.1.1. Interoperability is the ability of systems, units, or forces to provide data, information, materiel, and services to and accept the same from other systems, units, or forces, and to use the data, information, materiel, and services so exchanged to enable them to operate effectively together. Interoperability within and among United States forces and U.S. coalition partners is a key goal that must be *addressed satisfactorily* for all Defense systems so that the Department of Defense has the ability to conduct joint and combined operations successfully. The use of standardized data shall be considered to facilitate interoperability and information sharing. *To the extent possible, systems and software shall be designed, consistent with U.S. export control laws and regulations, to permit use in a multi-national environment with provision made for current and future information disclosure guidance and constraints.* The Department of Defense must have a framework for assessing the interrelationships among and interactions between U.S., Allied, and coalition systems. Mission area focused, integrated architectures shall be used to characterize these interrelationships. This end-to-end approach focuses on mission outcomes and provides further understanding of the full range of interoperability issues attendant to decisions regarding a single program or system. *In order to foster interoperability with our Allies and coalition partners, consideration shall be given to procurement or modification of Allied systems or equipment, or cooperative development opportunities with one or more Allied nations to meet user needs.*

4.1.2. The Defense Acquisition System shall emphasize acquisition judgment based on consideration of a relevant family-of-systems, including those that cross Component organizational boundaries. To that end, the requirements community shall specify key performance parameters and the acquisition and test and evaluation communities shall adopt a family-of-systems management approach to ensure that their reviews of individual systems include a thorough understanding of critical system interfaces related to the system under review and the flow of consistent and reliable data, information, and services among systems in the battlefield. The objective is an environment characterized by mutual understanding of key systems in a given mission area; shared decision making and close cooperation between the requirements, test and evaluation, and acquisition communities; and disciplined control over the development and introduction of acceptable interoperable systems.

4.2. Rapid and Effective Transition From Science and Technology to Products

4.2.1. The fundamental role of the DoD Science and Technology (S&T) program is to enable a technologically superior military force. The S&T program shall

address user needs; maintain a broad-based program spanning all Defense-relevant sciences and technologies to anticipate future needs and those not being pursued by civil or commercial communities; preserve long-range research; and enable rapid transition from the S&T base to useful military products. S&T projects shall focus on increasing the effectiveness of a capability while decreasing cost, increasing operational life, and incrementally improving products through planned upgrades. S&T executives shall encourage the use of initiatives, such as advanced technology demonstrations, designed to accelerate the transition from the S&T base to useful military products. Basic and applied research are the foundation for equipping tomorrow's user. To protect and ensure the success of the warfighter on the battlefield, the protection of dual-use and leading-edge military technologies begins during research and development in the laboratories (whether Government or commercial) and extends through the acquisition life cycle. Thus it is imperative to maintain a strong technology base investment to develop options for the long term, beyond the threats, scenarios, and budgets that today's analysts can currently predict. *Also, it is imperative that critical research and technology information be identified early in S&T activities and that decisions on critical program information protection be made early in the acquisition process and be reassessed at each major decision point.*

4.2.2. Time-Phased Requirements and Communications with Users. Validated time-phased requirements generation is an evolutionary approach to specifying operational requirements in an incremental manner over time matched with projected threat assessments and available technology. Time-phased requirements are essential to evolutionary acquisition strategies and are strongly encouraged as a preferred approach to establishing and documenting operational needs. The Defense acquisition and requirements communities shall maintain continuous and effective communications with each other and with the operational user. The objective is to gain a sound understanding of the users' needs and to work with them to achieve a proper balance among cost, schedule, and performance considerations.

4.2.3. Use of Commercial Products, Services, and Technologies. In response to user requirements, priority consideration shall always be given to the most cost-effective solution over the system's life cycle. In general, decision-makers, users, and program managers shall first consider the procurement of commercially available products, services, and technologies, or the development of dual-use technologies, to satisfy user requirements, and shall work together to modify requirements, whenever feasible, to facilitate such procurements. Market research and analysis shall be conducted to determine the availability, suitability, operational supportability, interoperability, and ease of integration of existing commercial technologies and products and of non-developmental items prior to the commencement of a development effort.

4.2.4. Performance-Based Acquisition. In order to maximize competition, innovation, and interoperability, and to enable greater flexibility in capitalizing on commercial technologies to reduce costs, performance-based strategies for the acquisition of products and services shall be considered and used whenever practical. For products, this includes all new procurements and major modifications and upgrades, as well as the reprocurement of systems, subsystems, and spares that are procured beyond the initial production contract award. When using performance-based strategies, contractual requirements shall be stated in performance terms, limiting the use of military specifications and standards to Government-unique requirements only. Configuration management decisions shall be based on factors that best support implementation of performance-based strategies throughout the product life cycle.

4.3. Rapid and Effective Transition from Acquisition To Deployment and Fielding

4.3.1. Evolutionary Acquisition. To ensure that the Defense Acquisition System provides useful military capability to the operational user as rapidly as possible, evolutionary acquisition strategies shall be the preferred approach to satisfying operational needs. Evolutionary acquisition strategies define, develop, and produce/deploy an initial, militarily useful capability ("Block I") based on proven technology, time-phased requirements, projected threat assessments, and demonstrated manufacturing capabilities, and plan for subsequent development and production/deployment of increments beyond the initial capability over time (Blocks II, III, and beyond). The scope, performance capabilities, and timing of subsequent increments shall be based on continuous communications *among* the requirements, acquisition, intelligence, and budget communities. In planning evolutionary acquisition strategies, program managers shall strike an appropriate balance among key factors, including the urgency of the operational requirement; the maturity of critical technologies; and the interoperability, supportability, and affordability of alternative acquisition solutions. To facilitate evolutionary acquisition, program managers shall use appropriate enabling tools, including a modular open systems approach to ensure access to the latest technologies and products, and facilitate affordable and supportable modernization of fielded assets. Sustainment strategies must evolve and be refined throughout the life cycle, particularly during development of subsequent blocks in an evolutionary strategy.

4.3.2. Integrated Test and Evaluation. Test and evaluation is the principal tool with which progress in system development is measured. The complexity of modern weapon systems demands that test and evaluation programs be integrated throughout the defense acquisition process. Test and evaluation shall be structured to support the defense acquisition process and the user by providing essential information to

decision-makers, assessing attainment of technical performance parameters, and determining whether systems are operationally effective, suitable, and survivable for intended use. Test and evaluation is conducted to facilitate learning, assess technical maturity and interoperability, facilitate integration into fielded forces, and confirm performance. Test and evaluation shall be closely integrated with requirements definition, threat projections, systems design, and development, and shall support the user through assessments of a system's contributions to mission capabilities. Test and evaluation planning shall begin early in the acquisition process. To the greatest extent possible, the DoD Components shall gather test data to identify the total cost of ownership, and at a minimum, the major drivers of life-cycle costs. Each Military Department shall establish an independent operational test and evaluation agency, reporting directly to the Service Chief, to plan and conduct operational tests, report results, and provide evaluations of effectiveness and suitability.

4.3.3. Competition. Competition is critical for providing innovation, product quality, and affordability. All DoD Components shall acquire systems, subsystems, equipment, supplies and services in accordance with the statutory requirements for competition. Competition provides major incentives to industry and Government organizations to reduce cost and increase quality. The Department must take all necessary actions to promote a competitive environment, including examination of alternative systems to meet stated mission needs; structuring Science and Technology investments and acquisition strategies to ensure the availability of competitive suppliers throughout a program's life and for future programs; ensuring that prime contractors foster effective competition for major and critical products and technologies; and ensuring qualified international sources are permitted to compete. Acquisition, technology, and logistics decisions shall be made with full consideration of their impacts on a competitive industrial base, including not only the prime contractor level but also the subcontractor level.

4.3.4. Departmental Commitment to Production. Milestone decision authorities shall not commit the Department to the initiation of low-rate initial production (or any production in the case of systems where low-rate initial production is not required) of an acquisition program unless and until certain fundamental criteria have been considered and evaluated. These criteria include, but are not necessarily limited to, demonstrated technology maturity; well-defined and understood user requirements that respond to identified threats; acceptable interoperability, affordability, and supportability; and a strong plan for rapid acquisition using evolutionary approaches as the preferred strategy, open systems designs, and effective competition.

4.4. Integrated and Effective Operational Support

4.4.1. Total Systems Approach. Acquisition programs shall be managed to optimize total system performance and minimize total ownership costs by addressing both the equipment and the human part of the total system equation, through application of systems engineering. Program managers shall give full consideration to all aspects of system support, including logistics planning; manpower, personnel, and training; human, environmental, safety, occupational health, accessibility, survivability, *operational continuity*, and security factors; *protection of critical program information through anti-tamper and other measures*; and spectrum management and the operational electromagnetic environment.

4.4.2. Logistics Transformation. Logistics transformation is fundamental to acquisition reform. Decision-makers shall take all appropriate enabling actions to integrate acquisition and logistics to ensure a superior product support process. The Department shall strive for an integrated acquisition and logistics process characterized by constant focus on total cost of ownership; supportability as a key design and performance factor; logistics emphasis in the systems engineering process; and that meets the challenges of rapidly evolving logistics systems supporting joint operational forces.

4.4.3. Logistics transformation shall be accomplished through:

4.4.3.1. Streamlined logistics infrastructure requirements.

4.4.3.2. Reduced logistics response cycle times.

4.4.3.3. Weapon system supply chains integrated with the Department of Defense and commercial logistics systems and focused on customer service and system readiness.

4.4.3.4. Use of competitive sourcing to select best-value providers from Government, industry, or public-private partnerships.

4.4.3.5. A support environment that maintains long-term competitive pressures; continuous improvement of weapon system reliability, maintainability, and supportability through technology refreshment and other means; and effective integration of weapon system-focused support to provide total mission logistics and optimum support to the user. Acquisition program managers shall focus on logistics considerations early in the design process to ensure that they deliver reliable systems that can be cost-effectively supported and provide users with the necessary support infrastructure to meet peacetime and wartime readiness requirements.

4.5. Effective Management

4.5.1. Tailoring. There is no one best way to structure an acquisition program so that it accomplishes the objectives of the Defense Acquisition System. Decision-makers and program managers shall tailor acquisition strategies to fit the particular conditions of an individual program, consistent with common sense, sound business management practice, applicable laws and regulations, and the time-sensitive nature of the user's requirement. Proposed programs may enter the acquisition process at various decision points, depending on concept and technology maturity. Tailoring shall be applied to various aspects of the acquisition system, including program documentation, acquisition phases, the timing and scope of decision reviews, and decision levels. Milestone decision authorities shall promote flexible, tailored approaches to oversight and review based on mutual trust and a program's dollar value, risk, and complexity.

4.5.2. Cost and Affordability. Fiscal constraint is a reality that all participants in the acquisition system must recognize. Cost must be viewed as an independent variable, and the DoD Components shall plan programs based on realistic projections of funding likely to be available in future years. To the greatest extent possible, the DoD Components shall identify the total costs of ownership, and at a minimum, the major drivers of total ownership costs. Consistent with the Chairman of the Joint Chiefs of Staff guidance on requirements generation, the user shall treat cost as a military requirement and state the amount the Department should be willing to invest to obtain, operate, and support the needed capability over its expected life cycle. Acquisition managers shall establish aggressive but realistic objectives for all programs and follow through by working with the user to trade off performance and schedule, beginning early in the program (when the majority of costs are determined).

4.5.3. Program Stability. To maximize program stability, the DoD Components shall develop realistic program schedules, long-range investment plans, and affordability assessments, and shall strive to ensure stable program funding. The milestone decision authority shall determine the appropriate point at which to fully fund an acquisition program. This point shall be no later than entry into the systems demonstration and development phase, but may be earlier if warranted by the acquisition strategy and the timing of the decision relative to the programming and budgeting process. In general, full funding shall be required when there is a mature system concept and architecture (based on proven technologies). Full funding shall be based on the cost of the most likely system alternative. The acquisition community shall actively participate in the various phases of the Planning, Programming, and Budgeting System to ensure that acquisition management issues and full funding are properly addressed.

4.5.4. Simulation-Based Acquisition. Program managers shall plan and budget for effective use of modeling and simulation to reduce the time, resources, and risk associated with the entire acquisition process; increase the quality, military worth and supportability of fielded systems; and reduce total ownership costs throughout the system life cycle.

4.5.5. Innovation, Continuous Improvement, and Lessons Learned. The Department shall continuously focus on developing and implementing major initiatives necessary to streamline and improve the Defense Acquisition System. Through a commitment to reengineering, the Department shall increase its ability to fund warfighting requirements and continued research and development. Decision-makers at all levels shall encourage the continuous examination and adoption of innovative practices – including best commercial practices and electronic business solutions - that reduce cycle time and cost, and encourage teamwork, and shall provide meaningful incentives for innovation, such as reinvestment of cost savings and career recognition and advancement. In addition, decision-makers at all levels shall encourage and facilitate the documentation and institutionalization of lessons learned – both good and bad - from past experience. Proper incentives must be in place to encourage a culture friendly to the documentation of valuable lessons learned and the sharing of knowledge. The objective is a learning culture that embraces change and continuously adapts to new challenges.

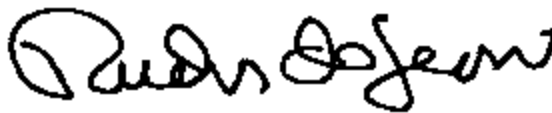
4.5.6. Streamlined Organizations and a Professional Workforce. The Department shall use a streamlined management structure in the acquisition system characterized by short, clearly defined lines of responsibility, authority, and accountability. In general, the chain of command shall include the program manager, program executive officer, the Component Acquisition Executive (CAE), reporting through the Head of the Component, and the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) or the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)). In all cases, no more than two levels of review shall exist between a program manager and the Milestone Decision Authority. The Department of Defense shall maintain a fully proficient acquisition, technology, and logistics workforce that is flexible and highly skilled across a range of management, technical, and business disciplines. To ensure this, the USD(AT&L) shall establish education, training, and experience standards for each acquisition position based on the level of complexity of duties carried out in that position. In addition, the USD(AT&L) shall encourage the use of cross-training programs to ensure that all disciplines and communities within USD(AT&L) have a full understanding of the overall system. Defense acquisition works best when all of the DoD Components work together as a team focused on the customer.

5. RESPONSIBILITIES

The Under Secretary of Defense (Acquisition, Technology, and Logistics) (USD(AT&L)), the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) (ASD(C3I)), and the Director of Operational Test and Evaluation (DOT&E) are key officials of the Defense Acquisition System. They may jointly issue DoD Instructions, DoD Publications, and one-time directive-type memoranda, consistent with DoD 5025.1-M (reference (h)), that implement the policies contained in this Directive. Any such issuance shall be jointly signed by the USD(AT&L), the ASD(C3I), and the DOT&E.

6. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, appearing to read 'Rudy de Leon'.

Rudy de Leon
Deputy Secretary of Defense

Enclosures - 3

- E1. References, continued
- E2. Definitions
- E3. Overview

E1. ENCLOSURE 1

REFERENCES, continued

- (e) Chairman of the Joint Chiefs of Staff Instruction 3170.01A, "Requirements Generation System," August 10, 1999
- (f) Federal Acquisition Regulation (FAR), current edition
- (g) Defense Federal Acquisition Regulation (DFAR) Supplement, current edition
- (h) [DoD 5025.1-M](#), "DoD Directives System Procedures," August 1994

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Acquisition Executive. The individual within the Department and Components charged with overall acquisition management responsibilities within his or her respective organization. The Under Secretary of Defense for Acquisition, Technology, and Logistics is the Defense Acquisition Executive responsible for all acquisition matters within the Department of Defense. The Component Acquisition Executives (CAE) for each of the Components are the Secretary of the Military Departments or Heads of Agencies with power of redelegation. The CAEs are responsible for all acquisition matters within their respective Component.

E2.1.2. Acquisition Program. A directed, funded effort designed to provide a new, improved, or continuing materiel, weapon or information system capability, or service, in response to a validated operational or business need. Acquisition programs are divided into categories, which are established to facilitate decentralized decision-making, execution, and compliance with statutory requirements.

E2.1.3. Automated Information System (AIS). An acquisition program that acquires Information Technology (IT), except IT that:

E2.1.3.1. Involves equipment that is an integral part of a weapon or weapons system; or

E2.1.3.2. Is a tactical communication system.

E2.1.4. Information Technology (IT). Any equipment, or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.

E2.1.4.1. The term "equipment" means any equipment used by the DoD Component directly or used by a contractor under a contract with the Component that requires the use of such equipment, or the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product.

E2.1.4.2. The term "IT" includes computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources. The term "IT" also includes National Security Systems. It does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

E2.1.5. Milestone Decision Authority. The individual designated in accordance with criteria established by the Under Secretary of Defense for Acquisition, Technology, and Logistics, or by the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence for AIS programs, to approve entry of an acquisition program into the next phase of the acquisition process.

E2.1.6. National Security System (NSS). Any telecommunications or information system operated by the U.S. Government, the function, operation, or use of which:

E2.1.6.1. Involves intelligence activities;

E2.1.6.2. Involves cryptologic activities related to national security;

E2.1.6.3. Involves command and control of military forces;

E2.1.6.4. Involves equipment that is an integral part of a weapon or weapons system; or,

E2.1.6.5. Subject to the limitation below, is critical to the direct fulfillment of military or intelligence missions. This does not include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications).

E2.1.7. Program Executive Officer (PEO). A military or civilian official who has primary responsibility for directing several major defense acquisition programs and for assigned major system and non-major system acquisition programs. A PEO has no other command or staff responsibilities within the Component, and only reports to and receives guidance and direction from the DoD Component Acquisition Executive.

E2.1.8. Program Manager (PM). The individual designated in accordance with criteria established by the appropriate Component Acquisition Executive to manage an acquisition program, and appropriately certified under the provisions of the Defense Acquisition Workforce Improvement Act (10 U.S.C. §1701 et seq.). APM has no other command or staff responsibilities within the Component.

E2.1.9. Requirements Authority. The individual within the DoD Components charged with overall requirements definition and validation. The Vice-Chairman of the Joint Chiefs of Staff, in the role as Chairman of the Joint Requirements Oversight Council (JROC), is the requirements authority for all potential major defense acquisition programs and is responsible for all requirements policy and procedures, including Mission Need Statements, Capstone Requirements Documents, and Operational Requirements Documents. The Requirements Authority for other acquisition category programs is specified in reference (e).

E3. ENCLOSURE 3

OVERVIEW

The Defense Acquisition System exists to secure and sustain the nation's investments in technologies, programs, and product support necessary to achieve the National Security Strategy and support the United States Armed Forces. The Department's investment strategy must be postured to support not only today's force, but also the next force, and future forces beyond that:

E3.1.1. ACQUISITION. The primary objective of Defense acquisition is to acquire quality products that satisfy user needs with measurable improvements to mission accomplishment and operational support, in a timely manner, and at a fair and reasonable price. The Department of Defense shall use performance and results-based management to ensure an efficient and effective acquisition system. Successful acquisition programs are fundamentally dependent upon competent people, rational priorities, validated requirements, performance measurement, and clearly defined responsibilities.

E3.1.2. TECHNOLOGY. A robust Science and Technology program provides the essential foundation for a technologically superior military force. The Department's acquisition executives shall ensure that users have superior, supportable, and affordable technology to support their missions and give them revolutionary war-winning capabilities.

E3.1.3. OPERATIONAL SUPPORT. Effective operational support must provide for systems that are suitable, supportable, and survivable, and must utilize a total systems approach for the full range of system support considerations throughout the life cycle of the system.



Department of Defense DIRECTIVE

NUMBER 5200.1

December 13, 1996

ASD(C3I)

SUBJECT: DoD Information Security Program

- References:
- (a) DoD Directive 5200.1, subject as above, June 7, 1982 (hereby canceled)
 - (b) Executive Order 12958, "Classified National Security Information," April 20, 1995, as amended
 - (c) Information Security Oversight Office Directive, "Classified National Security Information," October 13, 1995
 - (d) DoD Instruction 5230.21, "Protection of Classified National Security Council and Intelligence Information," March 15, 1982 (hereby canceled)
 - (e) through (i), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

- 1.1. Reissues reference (a) to update policy and responsibilities for the DoD Information Security Program under references (b) and (c).
- 1.2. Replaces references (d) through (f) .
- 1.3. Continues to authorize the publication of DoD 5200.1-R (reference (g)), in accordance with DoD 5025.1-M (reference (h)).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the

Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as “the DoD Components”).

3. DEFINITIONS

3.1. Compromise. A communication or physical transfer of classified information to an unauthorized recipient.

3.2. Information. Any knowledge that may be communicated or documentary material, regardless of its physical form or characteristics, that is owned by, produced by or for, or is under the control of, the Department of Defense.

3.3. National Security. The national defense or foreign relations of the United States.

4. POLICY

It is DoD policy that:

4.1. National security information shall be classified, declassified and safeguarded, in accordance with national-level policy issuances. Misclassification shall be avoided.

4.2. Declassification of information shall receive equal attention with classification to ensure that information remains classified only as long as required by national security considerations.

4.3. The volume of classified national security information shall be reduced to the minimum necessary to meet operational requirements.

4.4. An active security education and training program shall be established and maintained to ensure that DoD military and civilian personnel who require access to classified national security information in the conduct of official business are familiar with their responsibilities for protecting such information from unauthorized disclosure.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

5.1.1. Serve as the Senior Agency Official for the Department of Defense under subsection 5.6.(c) of E.O. 12958, as amended (reference (b)).

5.1.2. Direct, administer, and oversee the DoD Information Security Program to ensure that the program is efficient, recognizes assigned authorities and responsibilities, and that appropriate management safeguards are in place to prevent fraud, waste, and abuse.

5.1.3. Approve, when appropriate, requests for exceptions to DoD Information Security Program policies and procedures.

5.1.4. Approve and publish DoD Instructions and Publications, as necessary, to guide, direct, or help DoD Information Security Program activities, consistent with DoD 5025.1-M (reference (h)).

5.1.5. Encourage liaison between the DoD Components and industry; professional associations; academia; Federal, State, and local government organizations; and international organizations to acquire information that may be of use in improving the DoD Information Security Program.

5.1.6. Assist the Under Secretary of Defense for Acquisition and Technology, as required, in implementing the DoD Acquisition Systems Protection Program, both by establishing security policy and providing technical security support to that program.

5.2. The Under Secretary of Defense for Policy shall:

5.2.1. Direct, administer and oversee that portion of the DoD Information Security Program pertaining to Special Access Programs, foreign government (including North Atlantic Treaty Organization) classified information, the National Disclosure Policy and security arrangements for international programs.

5.2.2. Approve, when appropriate, requests for exception to policy involving any programs listed in paragraph 5.2.1., above.

5.3. The Assistant Secretary of Defense for Public Affairs shall:

5.3.1. Direct and administer a DoD Mandatory Declassification Review Program under subsection 3.6. of E.O. 12958 (reference (b)).

5.3.2. Establish policies and procedures for processing mandatory declassification review requests, including appeals consistent with subsection 3.6.(d) of reference (b) and Section 2001.13 of the Information Security Oversight Office Directive (reference (c)), which make maximum use of DoD Component resources and systems established to implement DoD Directive 5400.7 (reference (i)).

5.4. The Under Secretary of Defense for Acquisition and Technology shall serve as the office of primary responsibility and provide day-to-day direction and management of the DoD Acquisition Systems Protection Program.

5.5. The Secretaries of the Military Departments, as Agency Heads under reference (b), and the Heads of the Other DoD Components, shall:

5.5.1. Designate a senior agency official for their respective Departments who shall be responsible for the direction and administration of the Department's information security program, to include active oversight, classification, declassification and security education and training programs to ensure effective implementation of reference (b) and DoD 5200.1-R (reference (g)).

5.5.2. Ensure that funding and resources are adequate to carry out such oversight, classification, declassification and security education and training programs.

5.5.3. Consider and take action on complaints and suggestions from persons in or outside the Government regarding the Department's Information Security Program.

5.6. The Director, National Security Agency, shall, as the designee of the Secretary of Defense, when necessary, impose special requirements on the classification, declassification, marking, reproduction, distribution, accounting, and protection of and access to classified cryptologic information.

6. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in black ink, appearing to read 'John P. White', is written over a horizontal line.

John P. White
Deputy Secretary of Defense

Enclosures - 1

1. References

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Instruction O-5230.22, "Security Controls on the Dissemination of Intelligence Information," August 17, 1988 (hereby canceled)
- (f) DoD Directive 5200.12, "Conduct of Classified Meetings," July 27, 1992 (hereby canceled)
- (g) DoD 5200.1-R, "Department of Defense Information Security Program Regulation," January 17, 1997 authorized by this Directive
- (h) DoD 5025.1-M, "DoD Directives System Procedures," August 1994, authorized by DoD Directive 5025.1, June 24, 1994
- (i) DoD Directive 5400.7, "DoD Freedom of Information Act Program," May 13, 1988



Department of Defense DIRECTIVE

NUMBER 5025.1

July 27, 2000

Administrative Reissuance Incorporating Change 1, September 11, 2000

DA&M

SUBJECT: DoD Directives System

References: (a) DoD Directive 5025.1, subject as above, June 24, 1994 (hereby canceled)
(b) DoD Directive 5400.9 "Publication of Proposed and Adopted Regulations Affecting the Public," December 23, 1974 (hereby canceled)
(c) [DoD 5025.1-M](#), "DoD Directives System Procedures," current edition
(d) DoD 5025.1-I "DoD Directives System Annual Index," current edition
(e) through (g), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

1.1. Reissues reference (a) to update policy and responsibilities governing DoD Directives, DoD Instructions, and DoD Publications (hereafter referred to collectively as "DoD issuances").

1.2. Cancels reference (b).

1.3. Continues to authorize the publication of references (c), (d), and (e).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the

Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as "the DoD Components").

3. DEFINITIONS

3.1. Defense Agencies and DoD Field Activities. Organizations specifically designated as Defense Agencies or DoD Field Activities under Section 191 of title 10 U.S.C (reference (f)).

3.2. Directive-type Memorandum. A memorandum issued by the Secretary or Deputy Secretary of Defense or OSD Principal Staff Assistants (PSAs) that, because of time constraints, cannot be published in the DoD Directives System at the time of signature. A DoD issuance will be issued within 180 days of signature of the memorandum.

3.3. OSD Principal Staff Assistants (PSA). OSD officials holding Presidential appointments, Assistants to the Secretary of Defense and OSD Directors or equivalents who report directly to the Secretary or Deputy Secretary of Defense.

3.4. Other Organizational Entities within the Department of Defense. Organizations established pursuant to the Secretary's authority under Sections 113 or 125 of reference (f), but excluding those designated under Section 191 of reference (d). These organizations include but are not limited to the Uniformed Services University of the Health Sciences and the National Reconnaissance Office.

3.5. Organizational Charter. A DoD Directive that establishes the responsibilities, functions, relationships, and delegated authorities, as applicable, of an OSD PSA, Defense Agency, DoD Field Activity, or other organizational entity in the Department of Defense.

4. POLICY

It is DoD policy that:

4.1. A single, streamlined, uniform system governing the preparation, coordination, approval, publication, dissemination, implementation, and internal review of DoD issuances will be maintained within the Department of Defense, in

accordance with DoD 5025.1-M (reference (c)). DoD issuances under the DoD Directives System includes the following:

4.1.1. DoD Directives that provide policy required or authorized by legislation, the President, or the Secretary of Defense to initiate, govern, or regulate actions or conduct by the DoD Components. Specifically, DoD Directives establish or describe policy, programs and major activities, and organizations; define missions; delegate authority; and assign responsibilities. A DoD Directive shall be approved and signed by the Secretary or Deputy Secretary of Defense.

4.1.2. DoD Instructions that implement policy, or prescribe a uniform method or delineate a specific plan of action for carrying out the policy, or provide directions or details for operating a program or activity; and assign responsibilities. A DoD Instruction implements a DoD Directive and shall be approved and signed by a PSA. A PSA may assign program responsibilities to another PSA or the Head of a DoD Component in a DoD Instruction when the authority to do so has been delegated by a DoD Directive.

4.1.3. DoD Publications (Regulations, Manuals, and DoD issuances that are not DoD Directives or DoD Instructions) that implement or supplement DoD Directives and DoD Instructions by providing uniform procedures for management or operational systems and disseminating administrative information. A DoD Publication must be authorized by a DoD Directive or DoD Instruction and its foreword approved and signed by a PSA.

4.2. DoD Directives shall adhere to the principle of centralized policy-making with decentralized execution by the DoD Components. As such, OSD shall focus primarily on providing policy guidance, fixing responsibility, and establishing appropriate mechanisms for feedback and oversight. The DoD Components should be provided the latitude to determine how a given policy is to be implemented at the local level. DoD Directives should be streamlined into eight pages or fewer, with no procedures.

4.3. DoD Directives shall be written in such a way to preclude requirements for the publication of implementing documents by the DoD Components. When it is necessary to establish specific parameters for action or to prescribe procedures to ensure that the guidance being promulgated is fully understood and carried out, a DoD Instruction or DoD Publication should be issued rather than requiring the DoD Components to issue separate implementing documents. When implementing documents are not required, or when the deadline for issuing implementing documents

has not been met, the DoD issuance shall be directly applicable to all elements within the DoD Component, and the Head of the DoD Component. The Head of the DoD Component shall be responsible for carrying out the DoD guidance.

4.4. Coordination

4.4.1. Mandatory Coordination. All DoD issuances must be coordinated with the General Counsel, DoD, the Inspector General, DoD, and the Director of Administration and Management.

4.4.2. Proposed DoD issuances, including changes, reissuances, and cancellations of these documents, shall be formally coordinated to solicit the views of the Heads of DoD Components as follows:

4.4.2.1. If an Assistant Secretary of Defense (ASD) is under the authority, direction, and control of an Under Secretary of Defense (USD), the USD may solicit comments from the ASD and include such comments in the USD coordination.

4.4.2.2. In the Military Departments, coordination shall be at the level of Secretary, Under Secretary, or Assistant Secretary.

4.4.3. Proposed DoD Instructions and DoD Publications, including changes, reissuances, and cancellations of these document, shall be formally coordinated to solicit the views of the Heads of DoD Components.

4.4.4. Unresolved issues in proposed Directives shall be brought to the attention of the Secretary or Deputy Secretary of Defense. Unresolved issues in proposed Instructions and Publications shall be brought to the attention of the cognizant PSA.

4.5. DoD issuances of general applicability that affect the public shall be published in the Federal Register in accordance with guidance issued by the Director of Administration and Management (reference (e)).

5. RESPONSIBILITIES

5.1. The Director of Administration and Management, Office of the Secretary of Defense, shall:

5.1.1. Serve as the DoD Regulatory Policy Officer.

5.1.2. Review, coordinate, and approve DoD issuances as rules for publishing in the Federal Register.

5.1.3. Review and coordinate on all DoD issuances.

5.1.4. Prepare organizational charters for all OSD PSAs, Defense Agencies, and DoD Field Activities, and other organizational entities within the Department of Defense.

5.1.5. Monitor compliance with section 4., above.

5.2. The Director, Washington Headquarters Service, in accordance with DoD Directive 5110.4 (reference (g)) shall:

5.2.1. Administer and operate the DoD Directives System.

5.2.2. Provide operational support and administrative services to specified DoD Components and non-DoD activities.

5.2.3. Place approved DoD issuances on the Internet.

5.2.4. Approve Administrative Instructions.

5.3. The OSD Principal Staff Assistants shall:

5.3.1. Prepare DoD issuances that are relevant and necessary to accomplish their assigned responsibilities, in accordance with DoD 5025.1-M (reference (b)).

5.3.2. Prepare, coordinate, and approve DoD Instructions within their areas of responsibility and, if authorized by their organizational charters, sign the Instructions.

5.3.3. Prepare, coordinate, and approve DoD Publications and sign the foreword.

5.3.4. Publish DoD issuances of general applicability that affect the public as rules in the Federal Register in accordance with reference (e).

5.3.5. Coordinate proposed DoD issuances with the DoD Components, as prescribed in paragraph 4.4., above, and coordinate on proposed DoD issuances originated by OSD PSAs.

5.3.6. Six months from the date of the Directive and at 5-year intervals thereafter, OSD PSAs will also:

5.3.6.1. Review all DoD issuances under their cognizance for need and currency.

5.3.6.2. Certify by memorandum to DA&M, OSD, whether the issuances will be continued, revised, or canceled. Include in the memorandum the need and currency of the issuance in accordance with reference (c).

5.3.6.3. Issue directive-type memorandums and cancel or convert them to DoD issuances, in accordance with paragraph 3.2., above.

5.4. The Heads of the DoD Components shall:

5.4.1. Review and coordinate on proposed DoD issuances relevant to their missions.

5.4.2. Issue implementing documents, when required by the OSD PSAs or considered necessary, consistent with the intent of the DoD issuances.

5.4.3. Provide copies to the appropriate OSD PSAs, in accordance with DoD 5025.1-M (reference (c)).

6. EFFECTIVE DATE

This Directive is effective immediately.



Rudy de Leon
Deputy Secretary of Defense

Enclosures - 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) [Administrative Instruction No. 102](#), "Office of the Secretary of (OSD) Federal Register (FR) System," August 6, 1999
- (f) Title 10, United States Code
- (g) [DoD Directive 5110.4](#), "Washington Headquarters Services," May 10, 1999